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3628

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/500,624	
	Filing Date	February 9, 2000	
	First Named Inventor	Dean W. Amburn	
	Art Unit	3628	
	Examiner Name	Harish T. Dass	
Total Number of Pages in This Submission		Attorney Docket Number	2425-000001

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Technology Center (TC)  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>Applicant's Interview Summary; return postcard.</b>
<b>Remarks</b> The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name	Dean W. Amburn	Reg. No.	46,517
Signature					
Date	November 1, 2004				

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EV 406 076 405 US



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 09/500,624  
Filing Date: February 9, 2000  
Applicant: Dean Amburn  
Group Art Unit: 3628  
Examiner: Harish T. Dass  
Title: Method And Apparatus For Automated Trading of  
Equity Securities Using A Real Time Data Analysis  
Attorney Docket: 2425-000001

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Director of the United States Patent and Trademark Office  
P.O. Box 1450  
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**APPLICANT'S INTERVIEW SUMMARY**


Sir:

An in-person interview regarding the above-cited application took place on October 8, 2004. During the interview, Applicant and Examiners Harish T. Dass and Hyung S. Sough discussed cited prior art references and Applicant's amended claims. Examiner Dass expressed concern about use of the term "mathematical function" in the claims as possibly indefinite. Applicant offered reasons why the claim terminology is not indefinite, including examples of how the system would work. Applicant also suggested that the system inherently would define variables that work within the mathematical functions as is routinely done in software applications. Examiner Sough suggested

possible amendments to further clarify the meaning of this terminology. No further agreement was reached on allowable subject matter.

Respectfully submitted,

Dated: 11/1/2004

By:   
Dean W. Amburn  
Reg. No. 46,517

HARNESS, DICKEY & PIERCE, P.L.C.  
P.O. Box 828  
Bloomfield Hills, Michigan 48303  
(248) 641-1600